

Help

Frequently Asked Questions (FAQs)

1. How do I File Electronically?

- Click on "Start Filing"
- Complete form with appropriate information
- Click the "Browse" button to select file to upload
- Submit additional files as necessary
- Click "Finished Sending"
- Review the "Files Sent" page, modify your information if necessary, then click "Complete Filing".
- Print Receipt for your records

2. What happens after I finish filing?

- The files you submitted are imported into the DMHC electronic document repository.
- Documents are reviewed.
- Upon acceptance of a filing, it is assigned a "Filing Number"
- E-mail notification is sent

3. What is the maximum file size I can upload?

15 MB per file. You can submit several files for filings larger than 15 MB.

4. What file types can I send?

- Microsoft Word Documents (*.doc)
- Portable Document Format (*.pdf)
- Tag Image File Format (*.tif)
- doc, pdf, or tif files compressed with WinZip (*.zip)

5. How do I submit a .pdf file?

Pdf files will be accepted as long as they are properly bar-coded. To do this will require software capable of generating and manipulating pdf documents. Such applications include Adobe Acrobat (Full Version, not the Reader) and Adobe PageMaker as well as a host of third party applications.

A duplicate set of .pdf formatted barcodes has been added to the eFiling website for downloading to your workstation. When submitting pdf documents, barcode these documents using the pdf barcodes. Ensure that the resulting file is composed of the pdf barcode page first, a page break, and then the original file.

6. How do headers and footers affect the barcode when you add a barcode to the document?

Headers and footers will not affect the barcode font. As long as the barcode font (the middle line of the barcode file) is visible, it will be read correctly.

7. I loaded the barcode font file on my computer and somehow it did not work. Barcodes are not displayed, only numbers.

For your monitor to display the barcode, you must have the barcode font installed on your computer in the fonts directory. To load the barcode font file in the proper directory, follow these instructions.

Note: The user that is loading the barcode fonts may need local administrator privileges depending on the level of security in your organization.

The barcode font should be copied to WINNT\fonts directory in the case of a NT/2000 machine, or the Windows\fonts directory for a 95\98 machine. Having this font installed on a workstation will allow a user to view the barcodes used in the pilot project.

8. How do I send both clean and redlined versions of our Chiropractic and our Acupuncture Practitioner Agreements (we are a specialized health plan and these are the practitioners who make up our panels in California). Which Ex K-1 barcode should be used?

Send both clean and redlined versions of your Chiropractic and Acupuncture Practitioners Agreements under "Exhibit K Generic" barcode.

Note: A generic barcode is available for each Exhibit (E thru II); however, this generic barcode shall only be used if your filing does not fall within the parameters of the other descriptions outlined.

9. Would both the Chiro and Acu agreements be "Stand", or would the Chiro agreement be "Stand" and the Acu agreement be "Vari"?

This would be up to the Plan's filer. For instance, if it were your standard Acupuncturist agreement it would be "Stand". However, if, on the other hand, you changed an agreement specific to an "Acupuncturist" it would be a "Variation". Please refer to 28 C.C.R. Section 1300.51K.

10. Would I use the same cover (whichever one it is) for both the clean and redlined versions, and just distinguish the two with the file names I give them?

Yes, each document should be bar-coded. (The barcodes will be the same.)

Note: Barcodes must be on their own pages followed by a page break.

11. If our Plan does not make distinctions between "L Grp" and "S Grp" designations, which coversheet should be used?

"Exhibit P Generic" coversheet (barcode) should be used if your Plan does not make distinctions between "L Group" and "S Group" designations.

Note: A generic barcode is available for each Exhibit (E thru II); however, this generic barcode shall only be used if your filing does not fall within the parameters of the other descriptions outlined.

12. Regarding the "Ex" and "P" coversheets: While we do contract directly with employer groups in some areas, we also contract on a carve-out basis with full-service HMOs. We call these "carrier"

contracts, and have traditionally filed them under Exhibit P. But I don't see any cover sheet that is exactly right for them.

"Exhibit P Generic" coversheet (barcode) should be used for your "carrier" contracts.

Note: A generic barcode is available for each Exhibit (E thru II); however, this generic barcode shall only be used if your filing does not fall within the parameters of the other descriptions outlined.

13. We have a quarterly undertaking, which we file as an amendment to just plain "I" (no "N"), and a quarterly grievance report, which we file as just plain "W". I don't see coversheets for those. What should we use?

Use the barcode designated as "UT002" for quarterly undertakings. In addition, under the barcode "Exhibit W" exists a barcode for Quarterly Grievance Reports, which is designated as "1300.68 Quarterly Grievance Report".

14. What if we receive a request by a DMHC to cc: someone else? How do we send this to the reviewing attorney?

Identify your cc's on your cover letter (utilizing the "General Correspondence" barcode) as you do now with your paper filings. The DMHC File Clerk will make sure your filing is routed to the appropriate people as indicated in your cover letter.

15. Once electronic filing is expanded to all plans, will paper filings be allowed?

This is not likely; however, special permission may be granted by the Department of Managed Health Care for extenuating circumstances.

16. Why don't I see the Secure Sockets Layer (SSL) icon at the bottom of the web pages?

Immediately after the demo, the department was using the development site for your testing and submissions. We are currently hosting the website on a production server using SSL.

Note: in order to access any SSL site, you must use "https" in the URL instead of plain "http".

17. Why is there more than one coversheet with matching descriptions except for a number? How will users know which coversheet to use?

The coversheets (barcodes) have been split-out for all variations of filings. Therefore, choose, only the one that is specific to your filing. In the event your filing does not fall with the specific descriptions, use the generic barcode specific to that Exhibit.

Note: A generic barcode is available for each Exhibit (E thru II); however, this generic barcode shall only be used if your filing does not fall within the parameters of the other descriptions outlined.

18. When sending an exhibit that confidential treatment is being requested, which barcode should be used, the barcode for the type of exhibit, or the "Request for Confidentiality" barcode?

Since two barcodes cannot be used to designate the same document,

the "Request for Confidentiality" (MSC03) barcode should be used. Otherwise, the exhibit will go to the public file.

19. When I open either the Execution Page form or the Notice of Material Modification form the characters "FORMTEXT" appear on each of the form fields, and the fields cannot be modified.

"View Field Codes" is enabled on your machine and must be turned off. To do this, go to the "Tools" menu in Word and select "Options", then the "View" tab. Unclick the "Field Codes" checkbox and Click "OK". Make sure you follow these instructions before you open either of the forms.

20. How do I file a redacted or otherwise confidential filing?

The "Request for Confidentiality" (MSC03) barcode should be used. Otherwise, the exhibit will go to the public file.

21. When submitting strike or underlined, and clean versions of an exhibit, how does the Department want us to file these?

They should be submitted as 2 documents (each with its own barcode) under the same exhibit, same barcode for each.

22. In filing an amendment with exhibits that contain more than one document, what is the proper procedure for identifying the documents contained in a file?

A cover page located immediately after the barcode listing the documents contained in the exhibit is adequate.

23. If the plan has special instructions for the File Clerk, how should we communicate this?

A cover letter to the File Clerk bar-coded as "Plan Correspondence Regarding Filings" is appropriate.

24. On the Execution Page form, Identification of Plan, Sections 2D/E, what fax number/email address should be listed here?

Both the fax number and the email address included in these sections should be for the person to be contacted regarding the filing. Communications regarding problems with the filing will be sent to these destinations.

25. There are several instances where there is not a specific barcode for the type of exhibit the plan wished to submit. (Example, our plan submits the same "Evidence of Coverage" for both large and small groups.) In those cases what barcode should be used?

In cases where a specific barcode is not available, use the generic exhibit barcode provided for each basic exhibit type.

26. It appears the Execution Page does not have the "Exhibits to Plan License Application" section that the old paper Plan License Application has. Is this section excluded on the E-Plan License Application because the bar-coded coversheets provide sufficient information?

No, this section has not been excluded. Section A5 of the Execution Page should list the exhibits contained within your filing and will be cross-referenced by the DMHC File Clerk against the actual barcodes.

27. Does the use of DMHC's website with an assigned name and password provide enough security against hackers, especially for our confidential data? In addition to zipping these files, should this information also be encrypted?

Files are encrypted by your browser using 128-bit encryption as they are sent. Files are decrypted at our web server, which is behind a firewall. When the files are brought into the system they are protected behind a second firewall. Only Department personnel have access to the files, and document level security is utilized to guard against unauthorized access.

28. Has the Exhibit-E requested information changed from the paper application or should these files reside in a different exhibit?

No, Exhibit E – Summary of Filing has not changed from the paper application and should reside as an Exhibit E-1.

29. How do I submit maps after January 1, 2002?

Map files may be submitted as .pdf or .tif images or can be embedded into Word documents utilizing other file formats such as .gif and .bmp. The image still needs to be barcoded properly for submission.

If the map is an odd size or cannot be scanned for some other reason, please mail us the map. Plans will not be required to buy special software to accommodate transmitting maps electronically. Please contact Angie Rodriguez to inform her of the hard copy submission.

30. How do I submit paper documents that I receive from others and this information is not in an electronic format?

Paper documents that are received from others will need to be scanned into an electronic format. Once in an electronic format, they can be formatted into Word documents and sent to the department electronically.

Note: Please be advised that scanning will be the responsibility of the Health Care Service Plans.

31. Can I print a barcode and then scan it in with other hardcopy documents?

Yes you can scan printed barcodes in. However, there are certain caveats:

Always use a current barcode (available from the eFiling website).

Select the barcode from the MS Word barcodes. Even though the barcode values are identical, the Word barcodes have been created electronically while the pdf barcodes are first-generation scans. The difference is that the pdf versions are slightly less sharp. Scanning them again, creating second-generation images would degrade the image further, perhaps making them unreadable by VisiFLOW.

Adjust the scanner filtering for the clearest image possible. Request assistance from your IT staff for proper settings.

32. Is informal communication between the Plans and counsel (email and voice) going to change because of VisiFLOW?

All communications between the Department and plans go into the official file, either as public, or if agreed, confidential. Currently, counsel print the e-mails and send them to the file. If it is a telephone call, it is captured in one of three ways on paper (telephone memo, confirming letter from the plan, confirming letter to the plan) and that paper goes to the file.

In electronic document management, the Department will still engage in informal communication such as e-mail and telephone and it will still be captured and filed.

E-mails to and from plans will be copied into "associated word documents" that will go to the file. Confirming letters from plans will be filed through the portal with an associated filing number. Department confirming letters or telephone memos will be launched from the VisiFLOW environment.

So, in other words, informal communication does not have to be submitted as an official filing through the eFiling portal.

33. Why can't I put my barcode right on the top of the first page of my document?

After the barcode is read by the system's barcode server, this page is deleted; therefore, the barcode must be on a separate page.

34. I'm currently putting my e-mail address in the Sender's Email address field on the "Start Filing Page". Should this email address be the person submitting the filing thru the website or should it be the person who signs the Execution Page?

The person submitting a filing at the eFile Website should use their own email address in the "Sender's Email Address" on the "Start Filing Page". However, please note that information regarding a particular filing, will go specifically to the person identified in Section 3 of the Execution Page.

35. Should I be getting an email notice after the filing is accepted by the DMHC File Clerk?

File Clerks will be sending out confirming emails stating acceptance of a filing along with a date of acceptance and filing number.

36. Is there or will there be a policy for when the eFile site is down? For example, what if we cannot meet a mandated filing deadline because the eFile site is down?

If the eFile Website is down and a mandated filing is due, notify the Department and the Department will grant an extension for the amount of time the website is down.

37. Our current hardcopy execution form has a field for the DMHC filing number and our internal filing number. The eFile execution form does not have a field for our internal filing number. May we add that field to the eFile form?

The eFile Execution Page has been constructed to comply with the

regulations. A field may not be added to this form to include a plan-specific internal filing number.

38. Regarding acceptable file formats, we will likely need to submit files in TIFF (*.tif) format when scanning hardcopy documents. Can that be added as an acceptable format?

Yes, the department has added .tif as an acceptable file format.

39. Can I zip a file and include the zipped file in another zip file?

No. Files within a zip file should not be zipped.

40. Historically, when a Plan files an amendment to a material modification (usually done in response to comments received from the Department to that material modification), it is submitted as an "amendment" on the Execution Page. A second "Notice of Material Modification" does not accompany that Response. Through the eFiling process, should an amendment to a material modification also be filed as an amendment?

Yes. An amendment to a material modification should be filed as an amendment.

41. When asking questions via email about eFiling procedures, what address should the question be emailed to?

Questions regarding eFiling should always be emailed to the "helpefile@dmhc.ca.gov" address to ensure that the proper personnel are aware of the question. Multiple people monitor this address to ensure a prompt response.

42. Has the filing process changed regarding requesting confidential treatment for a document?

No. Filing confidential documents electronically should include filing the confidential portion of the document redacted. Then the confidential portion of the document should be submitted separately as another document and bar-coded as "Request for Confidentiality". This barcode ensures that the public will not have viewable access to this confidential information.

43. Can I use Netscape Navigator 4.08 to upload filings at the eFile Website?

No. The Department has found that truncated text files and incomplete filings (not all documents completely transmitted) have resulted from using Netscape Navigator. Please use Internet Explorer when uploading filings at the eFile Website.

44. The templates we downloaded from the DMHC website appear to be Microsoft Word forms, protected by a password. Can DMHC give a plan the password so the plan can modify the form? Alternatively, could DMHC send an unprotected version of the template to the plan?

No. The templates are in strict conformance with applicable law and regulations. If a plan wishes to provide information that is not provided for on the form, the plan should include an exhibit attached to the form with the appropriate barcode.

45. On a confidential submission, would we need to insert two barcodes, one for the Exhibit number and another one for the request for confidential treatment?

No. Most of the confidential barcodes for confidential documents cover both the type of Exhibit and the fact that the Exhibit is to be treated as confidential as defined by the regulations. The only exception would be the barcode "Request for Confidential Treatment". In this case, still only include one barcode on this document, but physically indicate on the document which Exhibit the document is representing.

46. We understand that once our plan is certified, we will no longer send paper copies of documents. But what about biographical forms? When we file electronically, it will not have the affiant's signature on the form. Does DMHC want the signed bio scanned into a .pdf or .tif format before eFiling, or will the completed bio template without the affiant's signature suffice?

Yes. When submitting biographical affidavits, please obtain signatures in the regular way and scan the signed documents to be sent as electronic documents to DMHC. A filing that is submitted without the affiant's signature will not be accepted by the DMHC File Clerk.

47. What does it mean to be certified? Does an individual have to be certified or is the plan certified?

The plan is the entity that is certified, not individual officers or staff members.

48. Regarding signatures, am I correct in understanding that once we submit the Electronic Signature Verification Contract, we do not need to worry about signatures on the Execution Page that is filed electronically? In other words, we will not be embedding an electronic signature anywhere in the eFiling?

Yes, your statement is precisely correct.

49. If this is true, then is it also correct that all we need to do is submit one Electronic Signature Verification Contract regardless of the fact that we have several individuals that can sign a filing?

It is important that the plan submit one Electronic Signature Verification Contract for each individual in your organization who has authority to sign on the Execution Page.

50. Out of curiosity, are all plans "required" to participate in eFiling? What happens if a plan fails to certify or does not wish to do eFilings? Can they continue to file in paper?

Regulation 1300.41.8, adopted early in 2002, states that plans "shall" file electronically; therefore, all plans are indeed required to file electronically. At some point in the near future, all plans will be certified and paper filings will not be accepted. In addition to classroom training, DMHC established the certification process to ensure that plans have an opportunity to gain experience in the process by submitting "mock" filings. DMHC staff is available to assist with any problems that arise during the certification process. Again, DMHC expects that all plans will become certified and eventually paper filings will not be accepted. If a plan does not file electronically pursuant to the regulation and paper filings are no longer being accepted, that plan would be considered out of compliance with the Knox-Keene Act and enforcement action could result.

51. Following the classroom instruction in the eFiling process, what is DMHC's timeframe for a plan to become certified and begin electronically filing all required documents?

Thirty days.

52. I understand that plan filings are public information and that just about anybody can view public files. Will the same hold true for electronic filings?

Yes. However, confidential documents will not be available to the public.

53. Our plan does not normally use .pdf or .tif documents. We pretty much imbed everything into Word documents. We have no plans to change. Are we still required to send files in these two formats to DMHC during the certification process.

No. Plans should only submit document file types during Certification that the plan intends to eFile once certified.

54. What happens if we use file type (.pdf) for one document in a filing, a map for example, and submit the other documents as Word (.doc) files. Can I have more than one file format inside a single filing?

You may include multiple file formats in a single filing. Just be sure you have properly barcoded each document.

55. If our servers are down and we have a filing due, will we be allowed to send them in hard copy and follow-up with eFiling once the servers are back up?

No. Do not send hard copies. In the situation you just described, contact helpfile@dmhc.ca.gov, explain the situation and estimate when your equipment will be up and running.

56. After certification, if we find it necessary to file a document that is in Excel (e.g. financial projects that might be filed for material modifications or an Exhibit HH), in what manner would you prefer to receive it?

If you elect not to use the .tif print driver option as explained in the training class, please paste the Excel spreadsheet into a Word document. Be sure you change the format of the Word document to landscape and adjust the margins to the widest setting. This will allow the spreadsheet to be read by our system. Also, please remember to properly barcode these newly converted documents.

57. What Scanner settings does DMHC require or recommend?

There obviously is a wide variety of scanning equipment deployed throughout Health Care Service Plans in California. It is not practical for DMHC to successfully advise individual plans on how to configure or operate their equipment.

Generally speaking, please remember that electronic documents submitted by the plans and stored by DMHC are public documents. As such, they need to be clear and legible. If you are able to easily read electronic documents you create before you file them with DMHC, it is reasonable to assume that the images will be acceptable to DMHC.

To minimize chances for problems in this area, DMHC suggests a Dots Per Square Inch (DPI) setting of 300.

Once you have scanned a document, please look at the resulting document image on your screen. If the document appears clear and legible to you, then it will probably be clear and legible once imported into our system.

Remember that photocopies or faxes often are degraded before you begin the scanning process. Scanned images of newspaper or magazine advertisements originally printed on a non-white background are also a problem. Please start with the best source document available to you. If your equipment and software allows you to enhance or clean up a questionable image, please do so.

Contact DMHC

Who do I contact for help?

Regular Business Days: 8:00AM - 4:00PM

Angela Rodriguez
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(916) 324-9048

helpefile@dmhc.ca.gov